



PLANNING HANDBOOK

**A GUIDE FOR EMERGENCY SERVICES
PLANNERS
2001**

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INTRODUCTION
INTEGRATED EMERGENCY MANAGEMENT
PLANNING HANDBOOK

Emergency and disaster situations threaten every jurisdiction in the Commonwealth. These conditions can be of varying levels of severity, and are caused by human error, natural phenomena, technological failure, conventional or nuclear/biological/chemical attack.

An emergency is a sudden, usually unexpected, event which inflicts injury, loss of life, damage and/or destruction to property with greater severity than events routinely handled by the local emergency services. With proper coordination these events can usually be controlled and overcome by the use of local resources.

A disaster is an event which inflicts great damage to life and property, and is of such magnitude and scope that restoration of the area to normal is beyond the local jurisdiction's capability. It is a responsibility of the Federal, State, and Local governments in conjunction with volunteer agencies to plan for the protection of life and property from all potential disaster situations. A failure to plan may result in a jurisdiction being ill prepared to cope with a situation, and may well bring responsibility for injury or loss of life and property.

This Emergency Planning Handbook provides information to state and local planners on the Integrated Emergency Management System (IEMS) concept of developing Emergency Operations Plans (EOPs).

The IEMS concept of planning differs from earlier approaches by placing increased emphasis on the integration of planning to provide for all of the hazards identified in the jurisdiction's hazard analysis. The Basic Plan defines the organizations approach to emergency management and establishes the structure for the plan. It summarizes the situations and assumptions upon which the plan is predicated, identifies the organizational

structure and responsibilities, and provides the general philosophy for operation response. An annex is needed for each functional responsibility identified in the Basic Plan. The annex will identify each agency which has a responsibility for the function and will detail the integrated procedures employed in accomplishing the mission. The annex should follow the format of the Basic Plan.

PURPOSE

This handbook is designed to provide guidance to the state and local governments in the development of an Integrated Emergency Management Plan. Such plans consider all hazards and risks at each level of government. The handbook contains directions for preparing the Basic Plan, Annexes, and Appendices. Detailed instructions and examples of format, style, and samples are included.

GUIDANCE FOR LOCAL EMERGENCY OPERATIONS PLANS

An emergency operations plan (EOP) is a living document which is changed periodically to reflect current policies and operational procedures. It is based upon current situations for the jurisdiction and realistic assumptions of what would be expected to happen if potentially hazardous events occur in the community. The plan must reflect actual capabilities of the community and must be implemented using existing resources, which may include mutual aid from neighboring communities if such agreements are in effect.

An Emergency Resource Inventory List (ERIL) which contains a list of resources (personnel and materials) may be included in each annex or, preferably, at the end of the EOP. The ERIL should be divided into sections corresponding to the annexes of the

EOP. Resources relating to a specific annex should be entitled ERIL with the same annex letter and function as the annex it supports. For example, the ERIL for Law Enforcement would be entitled ERIL centered on the first line and Annex J (LAW ENFORCEMENT) centered on the second line.

Plans must be developed in conformance with the KyEM Planning Handbook, 1999. This handbook contains guidance for development of all-risk emergency operations plans. Part Two lists detailed instructions on the format of the various sections of an EOP.

Instructions are provided on the introductory page titles and numbering system, basic plan, annexes and appendices. Sample introductory pages are provided to aid the planner in their development. Control Stickers must be assigned to each plan and a Record of Distribution must be maintained by the local EM Director. The basic plan, annexes and appendices must follow the format specified by the Planning Handbook. Tabs and Standard Operating Procedures (SOPs), sometimes called Implementing Procedures or General Operating Guidelines, are not required to follow a specific format because such documents contain a variety of information which may not be clearly presented in a prescribed format.

Special requirements, for specific sections of the EOP such as those relating to the Chemical Stockpile Emergency Preparedness Program (CSEPP) or Tabs for Fixed Facilities which possess extremely hazardous chemicals, are in addition to the general requirements for all sections of the EOP.

MINIMUM REQUIREMENTS FOR AN EMERGENCY OPERATIONS PLAN INCLUDE:

BASIC PLAN

AUTHORITY

Cite applicable Presidential Executive Orders; Governor of Kentucky Executive Orders; federal laws; Kentucky Revised Statutes; Federal Response Plan and local Resolutions/Ordinances which regulate the Emergency Operations Plan. This section provides the legal authority/requirement for development of the EOP.

SITUATION AND ASSUMPTIONS

The situation should describe the community with information on the area in square miles, terrain features, streams and lakes, population, occupations of residents and if they commute to adjacent communities to work or if large numbers commute to the community to work or shop, types of industry and areas of concentration, major transportation systems, pipelines, utility systems, health and medical facilities, general emergency response capabilities of the community, major recreational facilities, educational systems and other information which may impact response to an emergency or disaster.

The current hazards to the community should be discussed in depth. Hazards change as populations shift, industries move into or out of the community, construction and development projects change water run-off patterns, utility systems (gas, electric, water etc.) age or are expanded, transportation systems deteriorate or are upgraded, the potential for terroristic incidents increases, the potential for landslides increases because of construction and development, abandonment of industrial plants and mines, threats from earthquake and subsidence, and the response capabilities of the community change.

Assumptions of the probability of occurrence and impact of selected hazards should be discussed. Lack of adequate resources to cope with a major or catastrophic event and the necessity to seek assistance from adjacent communities, the state and federal governments should be discussed. Assumptions relating to the cooperative effort of response agencies may be stated.

MISSION

Describe in general terms the mission or purpose of local governments, private organizations and volunteer agencies in responding to hazardous incidents in the community (what the EOP is meant to do). In addition to responding to emergencies and disasters, the organization provides guidance and leadership for development of appropriate educational programs and systems to implement an effective response when disaster threatens the community.

DIRECTION AND CONTROL

KRS Chapter 39 requires each city, county, urban-county or charter county government to create, support and maintain a local emergency management agency which shall serve the public safety interest of the local government within the territorial boundaries of the city or county where the agency is created. Officials who are responsible for development and implementation of emergency management programs in specific jurisdictions must be identified. Under KRS Chapter 39 the County Judge Executive is responsible for activities in unincorporated areas of the county and the Mayors are responsible for activities within the incorporated areas of their respective jurisdictions. Local officials are encouraged to form joint emergency management organizations. The EOP must clearly state that the EOP was developed for the appropriate jurisdiction(s). The plan must state, if appropriate, the Mayors have

authorized the County Judge Executive to direct activities within the city boundaries or the Mayors retain this authority. The most likely situation is a joint organization in which the chief executives retain authority for direction and control of emergency response operations in their respective jurisdictions.

Special districts (sewer, water, fire, school or airport authority) may retain control over activities relating to specific operations within the districts.

Management of mutual aid units, state and federal assistance personnel may be addressed.

CONCEPT OF OPERATIONS

This section explains the plan is applicable to all local governmental and private relief organizations which have a responsibility for emergency response and must be followed by all local disaster and emergency response organizations in the county and cities. It clarifies the jurisdiction's overall philosophy for coordinating emergency operations and establishes general policies for preparedness and response procedures.

It specifies who does what, when, where, and why. The Operational Time Phases of Preparedness, Response and Recovery may be explained. In addition, mitigation activities which provide protection during all of the phases should be addressed.

Provisions for implementing mutual aid agreements with neighboring communities and requesting assistance from state or federal governments may be discussed. It should emphasize a local state of emergency will be declared and local resources fully utilized prior to requesting state disaster assistance.

The Concept of Operations should contain general criteria and procedures for activating the Emergency Operations Center (EOC), the Emergency Communications Center (ECC) and/or an on-scene Command Post (CP). It should explain that detailed

response procedures for specific functions and hazards are included in supporting annexes, appendices and tabs.

The Basic Plan may contain attachments including organization charts, maps, tables, and mutual aid agreements. The attachments clarify the organizational structure; areas depicting various districts or zones which may be affected by the occurrence of specific hazards or the release of hazardous chemicals; primary and support responsibilities; and sources of assistance.

FUNCTIONAL RESPONSIBILITIES

A summary of the emergency management/EOC staff positions and their duties is provided for quick reference. A more detailed listing of positions, responsibilities of each position and the person or organization responsible for the position is provided in Annex A (Direction and Control).

ADMINISTRATION AND LOGISTICS

Discuss who is responsible for annual review of basic plan, annexes, appendices, tabs, and supporting materials. Provide instructions to plan custodians on procedures to ensure changes are entered correctly and in a timely manner.

Refer to Annex W (Training and Exercising) for the required schedule for exercising the EOP.

Include statement that all reports will be made in conformity with Annex U (Reporting System).

Provide instructions on providing KyEM identification cards and vehicle passes to governmental and non-governmental personnel who may be required to enter a restricted or evacuated area. See Appendices J-3 (Personal Identification Cards) and J-4 (Access Control Card) in the KyEOP.

Discuss procedures for obtaining necessary resources required by response agencies during emergency operations. Explain if they will be procured through normal channels in accordance with agency roles and regulations or if they will be obtained through a central logistics section. Discuss the source and procedures for obtaining funding to support response efforts to local disasters. If the local chief executives have declared a state of emergency, Chapter 39 of the Kentucky Revised Statutes authorizes them to order immediate purchase or rental of, contract for, or otherwise procure, without regard to procurement codes or budget requirements, the goods and services essential for protection of public health and safety or to maintain or to restore essential public services.

AUTHENTICATION

The plan shall be officially approved and adopted by signed executive order of the county judge executive or mayor(s). The executive order shall be filed with the office of the clerk for the local jurisdiction and a copy(s) placed in the local emergency operations plan.

GUIDANCE PUBLICATIONS

List reference documents used in development of this portion of the EOP.

APPENDICES

List each separate appendix, tab, table, organization chart, etc., by listing the appropriate appendix, tab, table number or letter and the title of the attachment on the last page of the document to which it is appended. For example, Appendix 1 to the Basic Plan, 1 McCracken County Hazard Map, Appendix 4 to the Medical Annex, M-4 Emergency Medical Care, second Tab to Appendix M-5, M-5-2 TIKI MAST, etc.

ANNEX A

DIRECTION AND CONTROL

The Direction and Control Annex describes the facilities, personnel and procedures employed to analyze, coordinate and direct the routine or emergency response activities of the organization in the most efficient and effective manner.

SITUATION AND ASSUMPTIONS

The situation section should discuss the resources, procedures and personnel which will be employed to direct the response to an incident which adversely affects the jurisdiction. The purpose, location, staffing and general description of the Emergency Operations Center (EOC), the alternate EOC and the mobile command post (CP) should be discussed in general terms. This annex or appendices to the annex may describe in more detail the EOC, alternate EOC and CP, list the EOC Agency Coordinators and their functional responsibilities, organizational chart(s), line of succession, continuity of government, emergency support functions, etc.

Assumptions may include requests for mutual aid to or from the jurisdiction, requests for state or federal assistance, availability of staff when a major disaster impacts the county and serviceability of equipment and vehicles during major disasters.

MISSION

The purpose of the annex is to provide guidance, policies and procedures to manage all types of incidents to save lives and reduce injuries, protect the environment and minimize property damage. Preparedness, response, and recovery operations are coordinated by the chief executive(s) and the emergency management staff to provide maximum utilization of all resources and public, private and volunteer agency personnel.

Disaster intelligence must be gathered and shared with all affected organizations in a timely manner.

DIRECTION AND CONTROL

This section explains who has responsibility and authority for directing the day-to-day program and emergency response/recovery operations. It should clearly state the county judge executive and the mayor(s) have responsibility and authority for directing emergency response operations in their respective jurisdictions. If the plan is a joint plan, the chief executives may share direction and control authority or they may delegate authority to manage emergency operations to the emergency management director. If the chief executives delegate authority to the emergency management director, they should retain executive oversight over emergency response operations. Responsibility for management of emergencies can not be delegated to another person. Emergency response operations for a major incident will be coordinated from the EOC or alternate EOC, or the mobile command post. Response to a localized incident may be coordinated from the mobile command post or both the EOC and the mobile command post if the scope of the incident merits activation of both facilities.

CONCEPT OF OPERATIONS

This section details operational policies and procedures for coordinating all response operations. It restates the responsibility of the chief executives for providing for the safety and welfare of the community. The authority of the emergency management director to coordinate/direct emergency response operations for the chief executives should be clearly explained. It describes the EOC and the mobile command post in greater depth than what may have been included in the situation and assumptions section. Procedures for activating the EOC and the mobile command post

and positions/officials authorized to activate them should be included. Operational procedures, message forms and routing patterns, displays, floor plans, etc., for the EOC/mobile command post are contained in standard operations procedures (SOPs) and are maintained under separate cover. The EOC may be activated in response to the threat of a disaster or to an actual disaster which has occurred. This section should contain a statement that the EOC staff coordinates operations for the chief executives under the general direction of the emergency management director. A detailed listing, to include the executive or policy making group, of each EOC staff position and their duties must be included. Discuss the community's policy on the incident command system (ICS) which will be used when a single agency responds to a manageable incident which is confined to one jurisdiction and the ICS which will be used for multi-agency/multi-jurisdictional response. If the ICS is explained in another annex, provide a summary of the discussion and reference the annex. Summarize mutual aid agreements and procedures for requesting assistance or providing assistance to jurisdictions which are parties to mutual aid agreements. Include procedures for requesting assistance through the Emergency Management Assistance Compact (EMAC).

ADMINISTRATION AND LOGISTICS

Specify individual/position responsible for maintaining and updating the Direction and Control Annex. Discuss procedures and funding sources for securing or replacing consumable supplies or reference documents which explain where and how they may be obtained. Each tasked organization is expected to provide its own logistical support during the first 24 hours of field response operations. An EOC SOP should be developed to detail sources for additional staff support for the EOC, message forms and

routing procedures, display equipment and procedures, basic shift schedules, communications resources and protocols, etc. or an existing SOP may be referenced.

APPENDICES

List each appendix, tab, table, chart etc. and each resolution or ordinance. Each mutual aid agreement should be included or referenced.

ANNEXES

Other annexes will generally follow the same format, but may differ extensively in appendices and tabs to the annex. General guidance is provided for the remainder of the annexes.

SITUATION AND ASSUMPTIONS

The situation portion identifies broad considerations that apply to the kinds of emergency situations and conditions which may occur in the jurisdiction that may require implementation of the EOP. It should describe the specific hazards the annex is developed to mitigate and address the adequacy of trained personnel and resources.

The assumptions section should discuss unknowns of the emergency situation that are associated with the specific function for which the annex is developed. Such assumptions focus on the probable operational situations under emergency or disaster conditions, cover unanticipated contingencies, and establish the parameters within which the planning for the function will take place.

MISSION

The mission states the purpose for the annex or appendix based upon potential threats or hazards which have impacted the jurisdiction and the function for which the

annex/appendix is developed. It must say more than to save lives and protect property.

It describes the provisions that are made to ensure the specific requirements for the function are effectively managed and coordinated based upon existing personnel and resources.

DIRECTION AND CONTROL

The person/position who has primary responsibility for direction or coordination of this function/task must be identified. If more than one jurisdiction/agency is responsible for coordination of the function, each party must be identified and their roles for directing their resources discussed. If selected agencies serve in a support role, explain who coordinates their activities and how their resources are utilized.

CONCEPT OF OPERATIONS

This section contains operational policies and procedures for coordinating or directing the response operations for the specific function. It describes the tasks to be accomplished, the agencies/persons responsible for ensuring they are adequately addressed, the conditions or situations that trigger the response, and where the actions will be undertaken.

General procedures for how response operations may be accomplished may be included, but detailed, specific procedures on how they are addressed should be contained in SOPs. Operational concepts vary from annex to annex and appendix to appendix because the tasks and available resources vary extensively between functional areas and local jurisdictions.

Formal arrangements that have been established to request assistance from or to provide assistance to other jurisdictions during emergency situations should be explained in this section. The plan should be based on the concept that initial

emergency response will, to the maximum extent possible, be by the local jurisdiction. Needed assistance will be obtained by executing mutual aid agreements. Additional unmet needs should be referred to the Kentucky Division of Emergency Management. In the appropriate annex, include procedures for requesting a presidential declaration of an emergency or major disaster to allow for supplemental federal financial and technical assistance in the event the state is unable to provide the required assistance.

ADMINISTRATION AND LOGISTICS

This section should identify the position that is responsible for coordinating revisions to the annex and for keeping all attachments to the annex current. SOPs may need to be developed to support the annex. Reports and records may be addressed or referenced if they are included in other sections of the plan. If additional temporary personnel are needed to implement the annex, discuss the number of personnel, required skills, source for personnel, food and lodging for additional personnel, additional costs, and other pertinent items.

Discuss types of resources that may be needed to supplement existing resources, how they will be obtained, and who will pay for them. Before requesting resources through emergency purchases or mutual aid assistance, consider the logistics associated with acquiring the materials, such as matching resources with need, packing and shipping, transportation methods and costs, and warehousing or storing materials in the community.

Provisions should be made for demobilization and dispersal of excess supplies or goods and returning equipment acquired through mutual aid agreements to the normal duty station.

APPENDICES

List each appendix, tab, table, chart, etc., and applicable ordinances or resolutions. Attach or reference mutual aid agreements.

EMERGENCY RESOURCE INVENTORY LIST

The Emergency Resource Inventory List (ERIL) catalogues personnel and materials for each annex in the EOP. It should be placed at the rear of the EOP and should contain resources for each annex. The information should be arranged in sections corresponding to the annex it supports.

The heading for each section should have ERIL centered at the top of the page. Centered on the second line will be the annex letter designation corresponding to the ERIL followed by the name of the annex in parentheses, e.g., ANNEX F (RECEPTION AND CARE).

Each ERIL will contain the primary resources which may be needed to implement the annex. The types or categories of resources vary extensively between annexes, however, personnel and equipment/materials are always needed to respond to incidents, emergencies, disasters, and catastrophes. Roman numerals will be used to separate each category of resources. The first category will be personnel, who may be listed by name or position. Other categories may include communications and warning equipment; firefighting resources; law enforcement resources; vehicles for passengers, cargo, and debris removal; boats; heavy equipment for public works applications; pumps; generators; useful materials and tools such as fuel, sand or gravel, sandbags, plastic sheeting, shovels, picks, chainsaws, and cleaning supplies. Shelters and mass care supplies such as medicine and first aid supplies; potable water; food; bedding, blankets, and cots; sanitation supplies; lighting equipment and other categories should

be added as necessary. Health and medical resources should be listed. Mutual aid agreements may be listed in the appropriate sections.

The Direction and Control ERIL should contain the EOC primary and alternate staff who are also listed in an appendix to the Direction and Control Annex. In addition to the EOC primary and alternate staff, the ERIL should contain day and night listings for other local elected officials; day and night listings for utility managers or points of contact; school superintendent and principals; and appropriate agency/department heads for the jurisdiction(s).

Sections of this Handbook are:

Part One: All Risk Planning - Page 1

Part Two: Format/Procedures - Page 28

**PART ONE
ALL RISK PLANNING
SECTION ONE**

I. FEDERAL LEVEL

- A. The Federal Emergency Management Agency (FEMA) has statutory responsibility to mitigate hazards through preparedness, response and recovery.
- B. FEMA has developed a unified system known as the Integrated Emergency Management System. The system addresses the full range of potential disaster situations which can occur in the United States - man-made disasters, weather related disasters, earthquakes, volcanoes, tsunamis, nuclear accidents, war and civil disorder.
- C. The Integrated Emergency Management System recognizes that there are common elements, agencies, equipment and personnel for emergency management at the federal, state, and local levels of government. The improvement of common elements will be given priority, not to the exclusion of other emergency responsibilities, but to their benefit. The system will emphasize common elements, while supporting unique preparedness requirements.
- D. The system is based upon planning involving the basic emergency management elements of direction and control, communications, coordination, and resource management. These elements constitute the management of a wide range of operations such as; public awareness, warning, evacuation, reception and care, and restoration of the area to normal following a major emergency or disaster. Increasing the capability of each element raises the level of preparedness, and increases the ability to deal with larger emergencies.

II. STATE AND LOCAL LEVELS

- A. In the event of an emergency or disaster, local and state governments can respond quickly and efficiently if they have developed an integrated Emergency Operations Plan. This plan, when written with state and local resources and hazards in mind, will prevent unnecessary duplications of effort, and will provide an affected jurisdiction with a coordinated response to the incident.
- B. An All-Risk, Integrated Emergency Management System (IEMS) consists of several primary components:
 - 1. Emergency Operations Plan - This plan defines the response organization and lists the responsibility of agencies acting through the agency coordinators. The plan outlines in broad terms how the jurisdiction will operate during a major emergency or disaster situation. The details that specify how the functions will be carried out are left up to each responsive agency and should be outlined in detail in written Standard Operating

Procedures.

2. Standard Operating Procedures (SOPs) - These procedures are developed by each agency or service responsible for carrying out a function(s) during an emergency or disaster. The SOP is an established set of rules and detailed procedures to be followed when engaged in emergency operations or fulfilling a function under the Jurisdiction's Emergency Operations Plan. The SOP is a written set of procedures maintained by the agency or service performing such function. It is not normally attached to the Jurisdiction's Emergency Operations Plan. It contains instructions pertaining to the normal or standard methods of operating. It should be in sufficient detail to fully explain the organization's usual way and method of doing things but not to the extent to cause confusion or not be clearly understood by the personnel who are to follow the procedures. The wording should be clear, concise, and to the point. The kinds of things that may be considered for SOP development are:
 - a. Outline of communications
 - b. Warning procedure
 - c. EOC/Command procedures
 - d. Evacuation and shelter procedures
 - e. Search and rescue procedures
 - f. Damage assessment procedures
 - g. Other procedures that requires detailed coordination.

The above is only a sampling of the many functions that require detailed instructions to assure that functions are carried out in a timely manner.

3. Emergency Operations Center (EOC) - The EOC functions as a control center to facilitate communications, coordination, and proper use of the available resources. The jurisdiction must be prepared to maintain central control during a disaster situation whether it is a result of natural, technological, or other catastrophic occurrence. A war-related incident cannot be ruled out. In addition to the EOC facility, a mobile control center is highly desirable. It can be utilized close to the emergency scene for better on-scene coordination and communications. The emergency communication center (ECC) is the heart of the EOC. It acts as the link between the EOC staff and the field workers. Over the communication system flows intelligence to the EOC from the field and direction and advice from the EOC to the field. It is necessary that the EOC and ECC are combined or in very close proximity to assure timely response to each situation. Detailed information pertaining to planning, development, and operational use of an EOC may be found in CPG 1-20,

Emergency Operating Center Handbook.

4. Emergency Resource Inventory List (ERIL) - The ERIL identifies the governmental and privately owned resources that may be available in the event of an emergency or disaster. It may be included as appendices to the annexes, or it may consist of one annex to the basic plan which catalogues all of the known resources in the jurisdiction. The ERIL may also be compiled as a separate document. Whatever method is used, it is important that the list is kept current. It should include the name and telephone number of the person or persons to contact in the event the resource is needed.

C. Hazard Identification

1. A goal of the integrated emergency management system is to develop and maintain a strong emergency capability to cope with all hazards that face the jurisdiction. A disaster, is usually a product of a hazard or a combination of hazards. To achieve this goal a determination of the hazards and magnitude of risk must be accomplished in a logical and consistent manner.
2. Knowing what could happen, the likelihood of it happening, and having some idea of the magnitude of the problems that could arise, are essential factors for emergency planning. With this in mind, one of the initial steps in planning is to identify the potential hazards and to determine the probable impact each hazard could have on people and property. It is important that all hazards that pose a potential threat to the jurisdiction are identified and addressed in the jurisdiction's emergency operations plan.
3. The identification of hazards and the analysis of their destructive potential must be as realistic as possible. However, for some hazards, assumptions must be relied upon concerning probability and intensity. In some jurisdictions it may be possible to make an estimate of the emergency management need concerning the hazards simply by collecting and evaluating the information that is already available about the hazards that pose a threat to the jurisdiction without the time involved and the cost of collecting new data.
4. To complete the Hazards Identification Process four categories of information must be gathered pertaining to the natural, technological, and manmade hazards that affect the jurisdiction.

The information collected concerns:

- a. The identification of hazards which occur or could occur in the jurisdiction.
- b. The significance of these hazards as a threat to the jurisdiction. Four general factors should be considered in determining if a hazard is significant.

- 1) Historically, the hazard has affected the jurisdiction.
 - 2) Loss of life or property could result.
 - 3) If the event occurred, the local emergency management organization would be involved with response.
 - 4) Specific plans exist or are needed to respond to the hazard.
- c. The frequency of occurrence in the jurisdiction (refer to historical data).
 - d. The maximum number of people that could be seriously affected. This means the number killed, injured, made ill, or requiring evacuation, shelter, or other measures to protect that portion of the population affected if the event occurred.
5. In many cases, just the knowledge that the jurisdiction is subject to a specific hazard will dictate the need for certain emergency management capabilities and a need to plan for responding in the event that it occurs. The lack of detailed information about the nature of a hazard and the impact should not be considered an obstacle to doing an initial review of the vulnerability. For more detail see FEMA publication CPG 1-35 Hazard Analysis and Capability Assessment.
 6. The following is a list of hazards that may be a potential threat to a given area which would require completion of a hazard identification and the need to be addressed in the local emergency operations plan. These hazards may be linked to natural, technological, and/or man-made situations. Keep in mind that a disaster is usually a product of a hazard or a combination of hazards.

NATURAL HAZARDS

TECHNOLOGICAL/MAN-MADE HAZARDS

Flash Flood/Riverine Flood
(Transportation/Stationary)

Hazardous Materials

Tornado/Severe Winds

Terrorism

Water Shortage

Explosions (Industrial, gas pipelines, sewer
systems, etc.)

Earthquake

Heat Wave
car,

Transportation Accident (plane, train, truck,
bus or boat accidents)

Drought

Winter Storm

Civil Disorder

Wildfire	Electrical power outage
Landslide	Dam failure
Avalanche	Fixed Nuclear Facility Incident
War/Attack	(Nuclear, conventional, biological, chemical)

The above is a sampling of hazards. A review of past hazards analysis may be useful, there may be others that pose a significant threat to a specific jurisdiction.

D. Operational Phases of Integrated Emergency Management

1. The integrated emergency management plan includes three phases of operations, each of which represents specific actions that overflow into the advancing or succeeding phase. These phases are:
 - a. Preparedness
 - b. Response
 - c. Recovery
2. Mitigation is any process or action that alleviates or reduces the force or intensity of a threat from an identified hazard on the community. Mitigation projects may include development or strengthening building codes; placing restrictions on building in high hazard areas unless adequate safeguards are in place; retrofitting buildings to meet more stringent standards; acquisition and relocation of structures in hazard prone areas; improving warning equipment and systems; mapping high hazard areas; etc. MITIGATION MAY OCCUR DURING ANY OPERATIONAL PHASE. It usually occurs during the preparedness or recovery phase, but mitigation may occur during the response phase.
3. Preparedness Phase - Normal Readiness and preparedness operations consisting of planning, training, recruiting personnel, develops facilities, and other preparedness requirements.
4. Response Phase - The Response Phase may be divided into three periods. These are: Increased Readiness (IR), Relocation and/or In Place Shelter, and Emergency Operations. These periods may occur simultaneously or successively.
 - a. The Increased Readiness Period starts when the threat begins to mount or when an emergency appears imminent, and continues until the danger subsides, or until superseded by emergency operations. The IR objective is to increase the response capability of the agency through an orderly

sequence or events during a time of increased tension.

- b. The Relocation or In Place Shelter Period begins when a responsible official determines that the safety of the citizens is endangered by their presence in the outdoors and they are ordered to relocate to an area of greater safety or stay inside. This period ends when the hazard is reduced or eliminated and the relocatees are allowed to return home or go outside again.
 - c. The Emergency Operations Period is characterized by priority responses to the hazard(s). It begins with the onslaught of the incident and continues until succeeded by the recovery period. The emergency operations period may be preceded by an increased readiness period, but frequently the sudden onslaught of the event occurs without warning.
5. Recovery Phase - The Recovery Phase overlaps the Response Phase because limited recovery operations are frequently begun while emergency operations are being conducted. The objective of the Recovery Phase is to return the area to normal as soon as possible. However, this phase may extend for a lengthy time depending upon the effects of the incident and the resources available to cope with them. It is not unusual for this period to take more than five years.
- E. The Emergency Operations Plan must include management for both peacetime and war related emergencies and disasters. If the plan addresses only one or a few of the anticipated situations contained in the Hazard Identification it fails to be comprehensive.

PART ONE - SECTION TWO

PRINCIPLES AND CONCEPTS OF PLANNING

STEPS IN THE PLANNING PROCESS

- 1. Organizing for Planning
- 2. Development of a Hazard Identification
- 3. Planning Directives/Guidance
- 4. Coordinating the Planning Effort
- 5. Researching Information
- 6. Drafting the Plan
- 7. Reviewing the Plan

8. Authentication of the Plan
9. Distribution of the Plan
10. Exercising The Plan
11. Revising and Updating The Plan

I. ORGANIZING FOR PLANNING

A. Planning

Planning, in relation to disaster and emergency situations, is defined as the process of anticipating the need for application of resources and determining the methods of obtaining and committing those resources to the operations plan. To do this effectively, officials must have knowledge of the geographical area for which they are responsible and knowledge of its characteristics (resources, terrain, weather) so they can relate the effects of hazards to operational requirements and activity.

B. Operations

Operations is the process of applying resources in an operational activity to achieve specific objectives. In reality, this is a continuation of the planning process put into actions.

C. Operations Plan

The Emergency Operations Plan (EOP) is a description of actions to be taken in the face of anticipated situations(s) and the general method(s) or situation(s). It describes actions to be taken (who, what, where, when) on the basis of assumptions, objectives and capabilities. The "how" is covered in an SOP.

D. Need for Roles and Relationship of Planning and Operations|

1. Evaluate Areas of Responsibility

The process required in developing an Emergency Operations Plan provides education and training for responsible officials via exercises that cause them to review and evaluate their areas of responsibilities in terms of operational readiness in the event of disasters or emergencies.

2. Identify and Anticipate Problems

The development of an operations plan, as indicated in the definition of planning, enables responsible officials to identify and anticipate the types of problems that may arise in the event of an emergency or disaster, and thus assist those officials in assigning specific duties to disaster operations forces

for the common good of all concerned.

3. Information

The processes involved in operations planning require the gathering of a great deal of information (intelligence) which is basic to the development of an operations plan. When the hazards are known, their effects analyzed, and the situation is known in terms of resources (manpower-materials), and the characteristics of the community. Then, and only then, can operations planning be done effectively.

4. Coordinated Action

- a. Operations are simply the act of doing, based on planning, modified by operational intelligence, involving people and other resources.
- b. Operations take place during the emergency/disaster, but the development of capability to perform occurs during the planning phase.
- c. The role of operations also has to do with the performance of tasks through task force organization. "Task force" applications of resources may be defined as a technique of emergency operations whereby heterogeneous functional and/or political units are grouped and employed to accomplish a specific task as one organization.
- d. Operations are also performed by subdivisions of political jurisdictions to assure control - this is in keeping with principles of organization and unity of effort. This concept may be expressed in reception and care of evacuees in terms of the number of shelters to be open in community, sector or district, to include feeding points, shelter capabilities, etc.; number of traffic control points, security points and other control measures.
- e. Operations may be modified by an increase or decrease in capability, lack of intelligence information (facts), or by decision of higher authority.
- f. Briefly, the role of operations is concerned with the questions of who does what, when, and where. But the development of the capability to perform is dependent upon the required activities accomplished during the planning phase - activities to commit resources to the operation plan and to train responsible people to implement it.

E. Basis of an Operation Plan

1. Assumptions - The following questions relating to assumptions are suggestive and are not exhaustive. Include any assumptions upon which planned actions are to be based.

- a. Threat - Who or what is the threat? (Effects of technological, man-made, natural, or war related disasters.)
- b. Threatening force - what are the capabilities of the threatening force?
- c. Warning time - How much warning time may be expected?

2. Objectives

- a. Objectives of government - The primary objectives of the unit of government or responsible agency are to protect and save lives and/or property (federal, state, county, city, rural and community).
- b. Objectives of Emergency Management - Public Law (99-277) states that one of the objectives of Emergency Management is to save life and property. To accomplish this goal, many specific tasks must be accomplished. One objective of any community, large or small, is that of self-preparedness. In addition, the primary mission may be that of fixed support (care of displaced persons), or that of mutual aid, or a combination of these.

3. Capabilities

- a. Threat - What are the characteristics of the threat (related to assumptions)?
- b. Capabilities in specific areas - What capabilities does the specific area or unit of government have to deal with identified threats or hazards?

F. Requirements of a Plan

An operational plan meets the following requirements:

1. Provides for Coordinated Response

- a. The operations plans should provide for procedures to be taken during the transitional period from a normal posture to that of an emergency posture.
- b. Reaction to emergency situations as prescribed by the operations plan should place a unit of government in the best possible position to meet a general type of emergency, the exact details of which are unknown. Familiarity with the plan and the basic concept of operations are essential to the conduct of emergency operations so that responsible people can carry out a coordinated plan of action toward a common objective without reference to the planning document itself. This is based on knowledge, training, and conditioning of responsible officials, as well as the general public.

2. Direction and Control

The plan establishes a definite direction and control structure and the means of communicating.

3. Authority Assigned

The plan fixes the limit of authority and delegates authority commensurate with responsibility and existing laws and regulations.

The plan assigns specific tasks to be performed by each element of government and provides the resources that are available and/or necessary for performance of assigned tasks (who, what, when, where).

4. Channels

The plan defines channels for requesting resources and additional supplies that may be required.

5. Detail

The basic plan provides sufficient detail on the basis of assumptions, capabilities and objectives. The basic plan makes definite assignments, and provides overall directions in broad terms as to how the jurisdiction will operate during a major emergency or disaster situation. The exact methods employed in such situations are left up to the particular department or agency and should be outlined in detail in written Standard Operating Procedures (SOPs).

G. Principles of Operations Planning

1. The development of the operations plan evolves from requirements that are designated or implied. So the underlying principle is the identification and determination of requirements for:
 - a. Equipment, supplies, facilities.
 - b. Personnel (to include organization and training).
 - c. Support or assistance (mutual aid, support from higher and adjacent units, etc.).
2. A chief purpose of the operations plan is the calculated use of resources committed to the plan, including trained manpower. So the second principle is the identification and determination of capabilities.
3. The third principle is inherent since capabilities are employed to meet requirements. It is, balance requirements with capabilities. Here we must

consider:

- a. What requirements can be met.
 - b. The employment of capabilities that actually exist, and develop additional capabilities to expand operations as time and funds permit. Keep in mind that only capabilities that exist now can be committed to the plan.
 - c. Avoid the expectation that capabilities can realistically be assigned to an infinite set of operational tasks.
4. If an operations plan is to be an effective and efficient instrument, the methods of balancing capabilities with requirements must be examined and determined. The fourth principle, then, is the determination of methods. The course(s) of action is/are selected that is/are feasible in light of the job to be done.
 5. The carrying out of the operations plan is dependent upon designated forces operating in or from a geographical location and during specified periods of time. So the fifth principle is expressed in terms of assignment.
 - a. Assign the job to be done on the basis of capabilities to do the job.
 - b. Determine when the job will be done in terms of warning, hazard or other circumstances.
 - c. Determine geographical limits of operations.
 6. Bear in mind that operations conducted on the basis of the plan must have resources committed to it during the planning phase. So the last principle is maximum use of resources. Since the planning process only enables us to forecast a range of events, we must determine what resources we can commit to the plan today from the government and private sectors to be ready for an uncertain tomorrow.
 7. Application of Principles
 - a. The above principles will find expression in various parts of the operations plan. It is important that planners understand their application when developing the operations plan.

H. Planning Directive

1. To insure coordination in the development of an operations plan, a planning directive should be issued. This directive should be addressed to chiefs of services, units of government, units within government, and other staff members responsible for preparing parts of the plan. It should be signed by the appropriate official, preferably the official having the highest authority over

those concerned with the jurisdiction's emergency management effort.

2. The planning directive translates the responsible official's decision into the actions of developing the operation plan. The planning directive should contain the purpose, authority, situation, and concept of the planning effort. It should include general and special assignments to each agency and service, and the requirements from completion and submission of the data required. It is helpful to set up a meeting of agency heads and their assistants to discuss the planning effort and to clarify any points not clear. An outline for preparing a planning directive is included with this part.

I. Documentation of the Operations Plan

1. The plan itself should be documented. It may be entirely written or partially expressed in graphic form. The basic plan is comparatively brief and general with appropriate details in the annexes.
2. The basic plan states the task or mission to be accomplished and it describes the situation and assumptions. It includes such things as:
 - a. Hazard Identification
 - b. Information of available resources that are under the control of the jurisdiction and pertinent information regarding aid and support that can be provided which may have a bearing on the decision of a subordinate. (Detailed aid and support action should be described in appropriate annexes.)
 - c. Information on jurisdiction as to its characteristics and geographical location (terrain, weather, industry, rail and road systems, river, lakes, land use, military installations, etc.). Maps should be used to simplify and clarify much of this information.
 - d. Emergency powers to meet the emergency - when and by whom invoked.
 - e. Warning systems
 - f. Equipment and supplies - amounts, where located, how maintained, and how controlled, and issued.
 - g. Shelter Capability - location of shelter in relation to where people are (seasonal population changes), use of shelter, weather, access roads to shelters, etc.
3. The basic plan states the general concept of operations and includes an organizational chart. Automatic actions to be taken upon receipt of warning by operating personnel are described, as well as automatic action to be taken by the general public upon sounding of alerts. It further states the general

concept of assignment, movement, or use of shelter. This part of the plan should describe the overall operations as they appear to the responsible official. The paragraph on Functional Responsibilities indicates details in carrying out this broad concept. Separate paragraphs may be used to describe action and activities under varying time phases such as: Preparedness, Response and Recovery. The Response Phase may include an Increase Readiness period, Relocation Period, and an Emergency Operations Period.

4. Examples of items to consider in this part of the plan are: maps showing jurisdiction, organization chart, alerting actions and/or procedures, checking equipment and communications systems, establishing contact with higher, adjacent and lower units of government, activating the EOC, continuity of government, activities of operating forces, public information announcement, news media relations, economic controls and management of resources and updating and checking of intelligence. Details on these items are contained in the supporting annexes and appendices.

II. COORDINATING THE PLANNING EFFORT

Coordination in planning can be viewed from two perspectives: 1) Coordination with the participatory agencies; and 2) Coordination among the planners assigned to the project. The planner should establish contacts and rapport with those government agencies likely to be involved. Representatives of such government agencies must be invited to participate as members of the planning team or advisory body.

III. RESEARCHING INFORMATION

Throughout the planning process, there is a continuing need for various types of data. These data can be classified in three broad categories: 1) old plans; 2) published resource data from agencies such as Bureau of Census, Ky Emergency Management and private organizations; and 3) government research reports. All required and beneficial references should be obtained by the planner and kept for future references.

IV. DRAFTING THE PLAN

- A. The Hazard Analysis is the principal planning document used as the basis for the written plan.
- B. The planner should meet with each annex coordinator and other persons who have been designated by the annex coordinator to assist with plan development. Data should be collected on personnel and material resources, operational procedures, area in which service is provided, problems encountered in providing the service, pertinent mutual aid agreements, etc.

If the annex coordinator or assistant will accept the task of writing the annex, the plan will be more localized and will very likely be more acceptable to the

community. However, the planner may do the actual plan writing using data supplied by representatives of the functional area.

The planner will prepare a draft annex and submit it to the annex coordinator for review. This first draft is double spaced and written in the format of the finished product. If corrections are necessary, they will be incorporated in the final draft.

- C. The final draft, which contains the basic plan and all annexes, will be distributed to all appropriate units and organizations for final review. Required changes will be made by rewriting only the affected pages and inserting them into the plan. The authentication page will be completed and inserted at this time. This procedure will reduce the number of review copies which must be produced because the review copy is retained as the final EOP. This final draft must meet the following requirements:

1. Meets the planning directive (or outline plan), in that emergency response assignments have been made.
2. Is based on facts and logical assumptions.
3. Provides for maximum credible utilization of available personnel, equipment and resources.
4. Prescribes specific tasks for subordinate echelons, units and organizations.
5. Provides for continuity of operations and does not conflict with known or assumed policies.
6. Provides for a definite direction and control structure and delineates a communication and warning system.
7. Is concise and easily understood. As emergency tasks increase in complexity, and the larger the organization, the more it is necessary to devise simple procedures. The plan should not include detailed implementing instructions as to how to carry out a prescribed task. This instruction is better included in an SOP.
8. Meet requirements of the time frame or phases defined in the concept of operations.
9. Has been coordinated with interested units, organizations and staff members.

V. REVIEWING THE PLAN

The planner should prepare and submit a rough draft of the plan for editing. The list of reviewers should include personnel who will have the responsibility for implementation of the plan. The draft should be reviewed to assure that it satisfies the requirements of the plan, is logical, conforms to any stated guidelines, and the

writing is clear and concise. All comments from the reviewers should be forwarded to the planner for final review. As a result of the review, and acceptance or rejection of comments, a final draft is prepared for acceptance by the heads of local government.

VI. AUTHENTICATION OF THE PLAN

The procedure for obtaining approval from the heads of local government will depend upon the local government's practice in this respect. A common technique is to prepare a draft and present it to the officials. After the review and revisions are made, the final draft is ready for the chief executives' approval and adoption by issuance of an Executive Order. See page 47 for a sample executive order. Annexes to the plan may be signed by the local coordinator and the appropriate agency coordinator.

VII. DISTRIBUTION OF THE PLAN

A definite distribution system is needed to assure that the plan, and all subsequent updates, promptly reach all concerned personnel. A Distribution Control Page should be compiled using the titles of all annex coordinators, government officials, and other personnel who have received a copy of the plan. The page will be used to control the number of plans in distribution, and to provide a mailing list for the distribution of updates. The distribution list should be addressed by organization titles rather than to individual names. This allows the list to be valid even if personnel change jobs. Periodically, an inventory of plans may be accomplished by mailing out a form to be returned by each holder, indicating that he/she is still in possession of the plan. A control sticker with the number of each plan should be included on the inside of the cover of the document. The number of the plan and holder's title shall correspond to the Distribution Control Page. See part two for samples. The distribution control record is a separate document maintained by the local director. A copy should be furnished to the area manager.

VIII. THE LOCAL EXERCISE PROGRAM

- A. The local Emergency Operations Plan (EOP) should be both realistic and workable, and the planners should be realistic in considering the actual capabilities of the various agencies in the local organization, while at the same time integrating the full spectrum of hazards which could arise, and losses which might be expected to occur. Planners must first determine what local resources are available in terms of trained manpower, usable resources, and available equipment which could be required to meet actual emergency or disaster situations.
- B. The local exercise program should be based firmly upon an organized and planned series of training and exercise activities that take place on a regular basis, and that are considered as part of the normal scope of local operations. The plan should be tested to be certain it is workable in terms of providing direction to the local program, and that it realistically supports the local

emergency management system.

- C. Training, tests and drills fit together to establish the basis for expecting emergency response and support personnel to be able to use the available resources to meet actual challenges that go beyond the daily variety of emergency situations. Emergency response personnel must know what the EOP calls upon them to do, as well as being trained to conduct operations in the face of emergencies or disasters. Standard Operating Procedures (SOPs) should be prepared which go beyond the EOP to give specific agencies guidance on how emergency operations are to be conducted. These SOPs should be consistent with the EOP and be used not only as a basis for training, but also as the basis for drills for emergency response personnel and for tests of emergency equipment or systems.
- D. The exercise program should test local plans and procedures and provide a basis not only for improving the emergency response organization, but of upgrading or improving written plans and procedures. Exercises reduce the risks that accompany actual emergencies or disaster situations. Therefore it is worthwhile to have a planned and well-paced approach to the local exercise program which is both scheduled well in advance, and also carefully designed to put various portions of the local EOP to the necessary test. Types of exercises that should be considered in selecting the appropriate kind of exercise training activity: Orientation exercise (OE); Tabletop Exercise (TT/Basic or TT/Advanced); Functional Exercise (FEx); and Full-Scale exercise. Orientation exercises and Tabletop Exercises are held in a conference room environment; Functional Exercises can be staged indoors as Emergency Operating Center (EOC) Exercises, or outdoors as Field Exercises or Drills; Full-Scale Exercises are necessarily conducted outdoors (Field), but would normally include as part of the scenario an EOC portion.

IX. REVISING AND UPDATING THE PLAN

The emergency management plan should be maintained and updated on a continuing basis. A review shall be made of the plan and updates issued at least annually. A change memo shall be issued annually even if changes to the plan are not required. The annual change memo will serve as certification the plan has been reviewed and revised if needed. All agencies are responsible for informing the local emergency management official of changes which affect the plan. Agency chiefs are responsible for maintaining agency plans, SOPs and resource data required for emergency operations.

Outline for A Planning Directive (Letterhead)

This section should identify the political jurisdiction(s) affected by the directive and may identify the chief executive and/or the office responsible for coordination of the planning effort.

ADDRESSEE(S):

Address the directive to all _____
officials who will have a planning assignment.

A. GENERAL

The estimate of the situation should provide most of the words for this part.

1. Purpose

State the purpose of the directive.

2. Authority

State the legal authority for the directive.

B. PLANNING ASSIGNMENTS

1. General

List any overall planning directions here to avoid repetition in specific planning assignments in Paragraph 3.

2. Planning

a. Overall Concept of

A short paragraph concerning concept of operations may clarify general operational procedures.

b. Situation

This paragraph should generally be a rewrite of the situation as presented in the estimate of the situation.

c. Planning Assumptions

List the planning assumptions which are of a common interest. This will generally be a rewrite of assumptions conducted in the estimate of the situation.

3. Assignments

Assign planning responsibility to each government organization unit by stating who is to be responsible for each type of emergency operation. The assignments should cover all anticipated emergency operations.

4. EXECUTION AND SCHEDULE

1. Time Requirements

Set target dates for completion of plans and any intermediate review date that may be required.

2. Plan Review Procedures Establish definite procedures for review of the plans and review deadlines if practical.
3. Special Instructions Provide any special instructions concerning the execution of the directive. Establish definite responsibility for each step in the development of the individual plans.

PART TWO FORMAT AND PROCEDURES

I. FORMAT

The format of a plan is the shape, size, binding and arrangement of material within the document. The Kentucky Division of Emergency Management has an established format for State and local Integrated Emergency Management Plans. The format is to assure compatibility with State plans, and with other county plans.

II. ORDER OF INTEGRATED EMERGENCY MANAGEMENT PLAN

Each Integrated Emergency Management Plan should contain the following in order:

- A. Title page to identify the plan.
- B. Foreword (page i)
- C. Instructions for making Changes (page ii)
- D. Record of changes (page iii)
- E. Governor's Executive Order (page iv)
- F. Table of contents (page v, etc.)
- G. Basic Plan (Pages 1,2,3, etc.)
- H. Annexes (Page A-1, A-2, A-3, etc.)
 - I. Appendices (Page A-1-1, A-1-2, A-1-2, etc.)
 - J. Tabs (Page A-1-1-1, A-1-1-2, A-1-1-3, etc.)

III. PLAN DISTRIBUTION AND MAINTENANCE

A. Distribution Control Record

The Distribution Control Record is a separate document used to verify the agencies, services, and individuals issued a copy of the plan. In addition, it serves as a record to identify the agencies and individuals that should receive updates and revisions of the plan. A sample of this record is included with this part.

B. Control Sticker

A control sticker shall be placed on the inside front cover of each plan. The control sticker lists the control number assigned to the plan; individual/office to which the plan is assigned and the person who assigned the plan. The control number shall be listed on the Distribution Control Page, which is maintained by the person who distributes the plans (e.g., Local Director).

C. Record of Change

The record of changes page is to record all updates, changes, and revisions of the plan.

IV. ORDER OF BASIC PLAN

A. The arrangement for the major sections of the Basic Plan shall be in the following order with the identifying Roman Numeral:

I. Authority

II. Situation and Assumptions

III. Mission

IV. Direction and Control

V. Concept of Operations

VI. Functional Responsibilities

VII. Administrative Support

VIII. Authentication (Signatures of Chief Executives)

IX. Appendices, Tabs, Tables, Charts, Maps, etc.

V. ORDER OF ANNEXES AND APPENDICES

A. The arrangement of paragraphs in the Annexes and Appendices shall be in the following order with the identifying Roman Numerals:

I. Situation and Assumptions

II. Mission

III. Direction and Control

IV. Concept of Operations

V. Administrative Support

VI. Appendices, Tabs, Tables, Charts, Maps, etc.

VI. TABS AND SOPs

The format of Tabs and Standard Operating Procedures (SOPs) may vary from previous sections because a wide variety of information may not easily fit into a standard format.

VII. ORDER OF PARAGRAPHS

A. The arrangement of all paragraphs in the hazard Identification, basic plan, annexes, and appendices, shall be in the following order with the identifying letters and numbers:

Roman Numeral I.

Capital Letter A.

Arabic Numeral 1.

Lower Case Letter a.

Arabic Numeral in Half-Parenthesis 1)

Lower Case Letter in Half-Parenthesis a)

Arabic Numeral in Parenthesis (1)

Lower Case Letter in Parenthesis (a)

VIII. PAGE NUMBERS/TITLES

A. Right hand pages shall be odd numbered. Each annex, appendix, and tab will start on the right hand side.

B. Left hand pages shall be even numbered.

C. Page numbers of annexes should be preceded by the letter identification of the annex and a continuing series of numerics.

D. All materials added after the annex will be numbered as a continuation of the annex.

E. The format for page numbers shall be as follows and centered on-half inch from the bottom of the page.

- | | |
|--|--|
| I. Table of Contents
and introductory pages | i, ii, iii, etc.... |
| II. Basic Plan
(Appendices to Basic Plan) | 1, 2, 3, etc....
1-1, 1-2, 1-3, etc.... |
| III. Annex A | A-1, A-2, A-3, etc.... |
| IV. Appendix A-1 | A-1-1, A-1-2, A-1-3, etc.... |
| V. Tab A-1-1 | A-1-1-1, A-1-1-2, A-1-1-3, etc.... |

F. The title, Basic Plan, should be on the first page of the plan centered one inch (1") from the top. Likewise, the identification and title of the annexes, appendices, and tabs should be centered one inch (1") from the top of the first page of each of these sections. The identification should be listed below the title as follows:

I. ANNEX C
 COMMUNICATIONS

II. APPENDIX C-3
 AMATEUR RADIO OPERATORS

(Appendix C-3 is the third Appendix of Annex C)

III. TAB C-3-4
 LIST OF OPERATIONS

(Tab C-3-4 is the fourth tab to Appendix C-3. Another digit would be added to indicate the page number, such as: C-3-4-1, etc.)

IX. BINDING OF PLANS

A. Plans shall be published in either a loose leaf binder or "press board/file" binder so the plans can be changed and pages removed.

X. MAINTENANCE OF PLANS

A. The Kentucky Division of Emergency Management has the overall responsibility for emergency management planning in the Commonwealth.

- B. The basic plan shall clearly state who is responsible for revising and updating the Integrated Emergency Management Plan. It shall also state the plan will be revised or updated at least annually.
- C. The local Emergency Management Director has the overall responsibility for developing and maintaining local plans, SOPs, and local resource data. Emergency management staff and agency coordinators are responsible for assisting the Director with development and maintenance of the EOPs. The local Director shall ensure all local plans are updated when revisions are issued.
- D. Each change to the plan shall be announced by the issuance of a memo to each plan holder. A sample memo is included with this part. The memo shall provide specific instructions for inserting the change in the plan and for recording it on the Record of Changes page. Changes requiring the deletion or insertion of a few words may be made by drawing a single line through the words to be deleted or by inserting the desired words in the plan and by noting the change number in the margin. Changes of more than a few words should be accomplished by retyping the entire page. **A change memo shall be issued at least once each year even if no revisions to the plan are required. The change memo will serve as certification that the plan has been reviewed annually.** The county number, change number, and year ("reference numbers") should be on the same line as the page number and should end at the right margin. The first three digits identify the county, the second group of two digits indicate the change number, and the third group of two numbers indicates the year the document was developed/revised. Example: 007-00-96, indicates the Bell County original plan was completed in 1996.
- E. Changes and updates to the Kentucky Emergency Operations Plan shall be developed by the State Planning staff. The KyEM Area Managers are responsible for inserting the changes in the state plans issued to local government agencies or officials.

SAMPLE TITLE PAGE

_____COUNTY
EMERGENCY OPERATIONS PLAN

PREPARED BY:

_____COUNTY EMERGENCY MANAGEMENT AGENCY

UNDER THE GUIDANCE OF
THE DIVISION OF EMERGENCY MANAGEMENT
COMMONWEALTH OF KENTUCKY

(DATE)

FOREWORD

(sample)

This is the Emergency Operations Plan for _____County. It has been designed to ensure that a coordinated response by local agencies and resources will be made to any serious emergency or disaster that could strike this county. Based closely as possible on the State Emergency Operations Plan, this plan represents a countywide effort to make preparations to respond to and recover as efficiently as possible from disasters and emergencies. The Basic Plan and Annexes provide general guidance for each government department and agency and describe the role of each without dictating how the services will handle individual responsibilities. The plan is predicated on the basis that each local government agency and service will develop Standard Operating Procedures detailing how they will respond to specific situations.

The successful operation of this plan depends entirely upon its acceptance by the local officials and heads of services, and their willingness to communicate with each other before and during disasters, and to coordinate priorities in a common effort to make the maximum use of available resources. This plan provides information concerning the resources, capabilities, and restrictions of the local government agencies and volunteer organizations. It is designed to improve communications between the local agencies and to enhance orderly operations during disaster situations. The plan strongly encourages central control through the use of an Emergency Operating Center to make the best use of resources and to prevent the duplication of effort.

MEMORANDUM
(sample)

TO: Holders of the Kentucky Emergency Operations Plan

FROM: Malcolm Franklin, Director

SUBJECT: Revision to the EOP (Change #21)

DATE: September 6, 2003

1. GENERAL

Change #21 to the Kentucky Emergency Operations Plan is hereby promulgated and is effective immediately.

2. INSTRUCTIONS:

Remove Tabs A-6-1 (ESF Functional Responsibilities) and A-6-3 (ESF Definitions), replace with the attached Tabs A-6-1 and A-6-3. **Do not remove Tab A-6-2.**

Remove entire Annex L (Search and Rescue), including all Appendices, replace with attached Annex L and Appendices L-1, L-2, L-3, L-4 and L-5.

Remove Annex G (Military Support) pages G-1 and G-2, replace with Annex G pages G-1 and G-2. **Do not remove pages G-3 through G-5.**

Insert attached Appendix EE-1 (Evacuation Routes) behind Annex EE (Evacuation).

3. RECORD OF CHANGE:

On the Record of Change page, which is located in the front of the plan, enter the following:

CHANGE: #21

DATE OF CHANGE: September 2003

DATE ENTERED: Actual date the change is entered in the holder's copy.

CHANGE MADE BY: Signature of person who entered this information.

Insert this memorandum in the plan behind the record of change page after change #20

RECORD OF CHANGES
(sample)

CHANGE NUMBER	DATE OF CHANGE	DATE ENTERED	CHANGE MADE BY (SIGNATURE)
11	9/11/97	12/15/97	<i>Donna Lynn</i>
12	01/15/98	01/27/98	<i>Charles Bogart</i>

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DISTRIBUTION CONTROL PAGE

(sample)

- A. The Distribution Control Page is a separate document (maintained by DES Director and separate from the plan) used to verify and control who has received a copy of the plan, and to insure that they have received all updates to the plan.
- B. Sample Distribution Page

DISTRIBUTION CONTROL PAGE

COPY NO.	INDIVIDUAL NAME/TITLE AND ADDRESS	DATE

CONTROL STICKER

(sample)

- A Control Sticker should be placed on each plan. The number and name shall correspond to the Distribution Control Page.

B. Sample Control Sticker

CONTROL NUMBER:

ASSIGNED TO:

ASSIGNED BY:

DATE:

APPENDIX 1 ORGANIZATION CHART (Sample)

COORDINATOR

FUNCTION

[illegible]

PRIMARY RESPONSIBILITY	P
SUPPORT RESPONSIBILITY	S

